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PTO/SB/21 (6-99)

Approved for use through 09/30/2000. OMB 0651-0031  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# TRANSMITTAL FORM

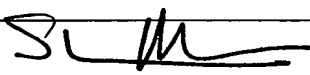
*to be used for all correspondence after initial filing)*

|   |  |                             |                               |                   |           |
|---|--|-----------------------------|-------------------------------|-------------------|-----------|
| <b>Application Number</b>                       |  | 09/513,236                  |                               |                   |           |
|   |  | <b>Filing Date</b>          |                               | February 24, 2000 |           |
|   |  | <b>First Named Inventor</b> |                               | Hadi Partovi      |           |
|   |  | <b>Group/Art Unit</b>       |                               | 2768              |           |
|   |  | <b>Examiner Name</b>        |                               | Unknown           |           |
| <b>Total Number of Pages in This Submission</b> |  | 29                          | <b>Attorney Docket Number</b> |                   | 22379-707 |

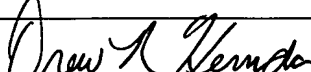
## ENCLOSURES (check all that apply)

|  |  |   |
|--|--|---|
| <input checked="" type="checkbox"/> Fee Transmittal Form<br><input checked="" type="checkbox"/> Fee Attached<br><input type="checkbox"/> Amendment / Response<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)<br><input type="checkbox"/> Extension of Time Request<br><input type="checkbox"/> Express Abandonment Request<br><input type="checkbox"/> Information Disclosure Statement<br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><input checked="" type="checkbox"/> Response to Missing Parts/<br>Incomplete Application<br><input checked="" type="checkbox"/> Response to Missing<br>Parts under 37 CFR<br>1.52 or 1.53 | <input checked="" type="checkbox"/> Assignment Papers<br>(for an Application)<br><input type="checkbox"/> Drawing(s)<br><input type="checkbox"/> Licensing-related Papers<br><input type="checkbox"/> Petition Routing Slip (PTO/SB/69)<br>and Accompanying Petition<br><input type="checkbox"/> Petition to Convert to a<br>Provisional Application<br><input checked="" type="checkbox"/> Power of Attorney, Revocation<br>Change of Correspondence Address<br><input type="checkbox"/> Terminal Disclaimer<br><input checked="" type="checkbox"/> Small Entity Statement<br><input type="checkbox"/> Request for Refund | <input type="checkbox"/> After Allowance Communication<br>to Group<br><input type="checkbox"/> Appeal Communication to Board<br>of Appeals and Interferences<br><input type="checkbox"/> Appeal Communication to Group<br>(Appeal Notice, Brief, Reply Brief)<br><input type="checkbox"/> Proprietary Information<br><input type="checkbox"/> Status Letter<br><input checked="" type="checkbox"/> Additional Enclosure(s)<br>(please identify below):<br>Petition under 37 CFR 1.47(a) with<br>supporting documents; declaration<br>by inventors |
| <b>Remarks</b>   |  |   |

## SIGNATURE OF APPLICANT, ATTORNEY OR AGENT

|  |   |  |  |
|--|---|--|--|
| <b>Firm<br/>or<br/>Individual name</b> | Shaliesh Mehra, Reg. No. 44,934, WILSON SONSINI GOODRICH & ROSATI                   |  |  |
| <b>Signature</b>                       |  |  |  |
| <b>Date</b>                            | June 15, 2000   |  |  |

## CERTIFICATE OF MAILING

|  |   |             |               |
|--|---|-------------|---------------|
| I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on this date: |   |             |               |
| June 15, 2000  |   |             |               |
| <b>Typed or printed name</b>   | Drew R. Herndon   |             |               |
| <b>Signature</b>   |  | <b>Date</b> | June 15, 2000 |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

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# FEE TRANSMITTAL for FY 2000

Patent fees are subject to annual revision.  
Small Entity payments must be supported by a small entity statement,  
otherwise large entity fees must be paid. See Forms PTO/SB/09-12.  
See 37 C.F.R. §§ 1.27 and 1.28.

TOTAL AMOUNT OF PAYMENT (\$ 619.00)

## Complete if Known

Application Number 09/513,236  
Filing Date February 24, 2000  
First Named Inventor Hadi Partovi et al.  
Examiner Name Unknown  
Group/Art Unit 2768  
Attorney Docket Number 22379-707

## METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number 23-2415 (Docket No. 22379-707)

Deposit Account Name Wilson Sonsini Goodrich & Rosati

- ☒ Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17

2. ☐ Payment Enclosed:

☐ Check ☐ Money Order ☐ Other

## FEE CALCULATION

## 1. BASIC FILING FEE

| Large Fee Code | Entity Fee (\$) | Small Fee Code | Entity Fee (\$) | Fee Description        | Fee Paid |
|----------------|-----------------|----------------|-----------------|------------------------|----------|
| 101            | 690             | 201            | 345             | Utility filing fee     | 345.00   |
| 106            | 310             | 206            | 155             | Design filing fee      |          |
| 107            | 480             | 207            | 240             | Plant filing fee       |          |
| 108            | 690             | 208            | 345             | Reissue filing fee     |          |
| 114            | 150             | 214            | 75              | Provisional filing fee |          |

SUBTOTAL (1) (\$ 345.00)

## 2. EXTRA CLAIM FEES

| Extra Claims       |                            | Fee from below | Fee Paid |
|--------------------|----------------------------|----------------|----------|
| Total Claims       | 15 -20** = 0 x 9.00 = 0.00 |                |          |
| Independent Claims | 4 -3** = 1 x 39.00 = 39.00 |                |          |
| Multiple Dependent |                            | 130.00 = 0.00  |          |

\*\*or number previously paid, if greater; For Reissues, see below

| Large Fee Code | Entity Fee (\$) | Small Fee Code | Entity Fee (\$) | Fee Description   |
|----------------|-----------------|----------------|-----------------|---|
| 103            | 18              | 203            | 9               | Claims in excess of 20                                    |
| 102            | 78              | 202            | 39              | Independent claims in excess of 3                         |
| 104            | 260             | 204            | 130             | Multiple dependent claim, if not paid                     |
| 109            | 78              | 209            | 39              | **Reissue independent claims over original patent         |
| 110            | 18              | 210            | 9               | **Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$ 39.00)

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

| Large Fee Code      | Entity Fee (\$) | Small Fee Code | Entity Fee (\$) | Fee Description  | Fee Paid |
|---------------------|-----------------|----------------|-----------------|--|----------|
| 105                 | 130             | 205            | 65              | Surcharge - late filing fee or oath  | 65.00    |
| 127                 | 50              | 227            | 25              | Surcharge - late provisional filing fee or cover sheet                     |          |
| 139                 | 130             | 139            | 130             | Non-English specification  |          |
| 147                 | 2,520           | 147            | 2,520           | For filing a request for reexamination                                     |          |
| 112                 | 920             | 112            | 920             | Requesting publication of SIR prior to Examiner action                     |          |
| 113                 | 1,840           | 113            | 1,840           | Requesting publication of SIR after Examiner action                        |          |
| 115                 | 110             | 215            | 55              | Extension for replay within first month                                    |          |
| 116                 | 380             | 216            | 190             | Extension for reply within second month                                    |          |
| 117                 | 870             | 217            | 435             | Extension for reply within third month                                     |          |
| 118                 | 1,360           | 218            | 680             | Extension for reply within fourth month                                    |          |
| 128                 | 1,850           | 228            | 925             | Extension for reply within fifth month                                     |          |
| 119                 | 300             | 219            | 150             | Notice of Appeal   |          |
| 120                 | 300             | 220            | 150             | Filing a brief in support of an appeal                                     |          |
| 121                 | 260             | 221            | 130             | Request for oral hearing   |          |
| 138                 | 1,510           | 138            | 1,510           | Petition to institute a public use proceeding                              |          |
| 140                 | 110             | 240            | 55              | Petition to revive - unavoidable   |          |
| 141                 | 1,210           | 241            | 605             | Petition to revive - unintentional   |          |
| 142                 | 1,210           | 242            | 605             | Utility issue fee (or reissue)   |          |
| 143                 | 430             | 243            | 215             | Design issue fee   |          |
| 144                 | 580             | 244            | 290             | Plant issue fee  |          |
| 122                 | 130             | 122            | 130             | Petitions to the Commissioner  | 130.00   |
| 123                 | 50              | 123            | 50              | Petitions related to provisional applications                              |          |
| 126                 | 240             | 126            | 240             | Submission of Information Disclosure Stmt                                  |          |
| 581                 | 40              | 581            | 40              | Recording each patent assignment per property (times number of properties) | 40.00    |
| 146                 | 690             | 246            | 345             | Filing a submission after final rejection (37 CFR 1.129(a))                |          |
| 149                 | 690             | 249            | 345             | For each additional invention to be examined (37 CFR 1.129(b))             |          |
| Other fee (specify) |                 | 25             |                 | Request for Corrected Filing Receipt                                       |          |
| Other fee (specify) |                 | 55/110         |                 | Terminal Disclaimer  |          |

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 235.00)

## SUBMITTED BY

Name (Print/Type) Shaliesh Mehra

Signature

Registration No. 44,934  
(Attorney/Agent)

## Complete (if applicable)

Telephone 650-493-9300

Date June 15, 2000

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Hadi Partovi et al.

Group No.: 2768

Serial No.: 09/513,236

Examiner: Unknown

Filed: February 24, 2000

For: Method and Apparatus for Content Personalization Over a Telephone Interface With Adaptive Personalization

Commissioner for Patents  
Washington, D.C. 20231COMPLETION OF FILING REQUIREMENTS  
—NONPROVISIONAL APPLICATION

- I. This replies to the Notice to File Missing Parts of Application (PTO-1533) mailed April 20, 2000. A copy of the Notice to File Missing Parts of Application—Filing Date Granted (Form PTO-1533) is enclosed.

## DECLARATION OR OATH

- II. No declaration or oath was filed. Enclosed is the original declaration or oath for this application.

## PETITION UNDER 37 C.F.R. 1.47(a) ON BEHALF OF A NON-SIGNING INVENTOR

Attached hereto is a Petition under 37 C.F.R. 1.47(a) on behalf of a non-signing inventor (Zhe Li), accompanied by an affidavit in support of the Petition, a Declaration executed by the joint inventors on behalf of themselves and the non-signing inventor, and the required Petition Fee of \$130.00 in accordance with 37 C.F.R. 1.17(i).

## POWER OF ATTORNEY

- III. Enclosed is an original Power of Attorney by Assignee to Exclusion of Inventor.

## SMALL ENTITY STATUS

- IV. A statement that this filing is by a small entity is attached.

## COMPLETION FEES

- |    |  |          |
|----|--|----------|
| V. | 1. Filing Fee: Original patent application (37 C.F.R. 1.16(a))               | \$345.00 |
|    | 1. Fee for Claims: Each claim in excess of 20 (37 C.F.R. 1.16(c))            | \$0.00   |
|    | 2. Fee for Claims: Each independent claim in excess of 3 (37 C.F.R. 1.16(b)) | \$39.00  |
|    | 3. Surcharge Fee: Late payment of filing fee (37 C.F.R. 1.16(e))             | \$65.00  |
|    | 4. Assignment (See "ASSIGNMENT COVER SHEET".)                                | \$40.00  |
|    | Total completion fees  | \$489.00 |

## EXTENSION OF TIME

- VI. Applicant believes that no extension of term is required. However, this conditional petition is being made to provide for the possibility that applicant has inadvertently overlooked the need for a petition and fee for extension of time.

Fee Due: 0.00

## TOTAL FEE DUE

- VII. The total fee due is: Completion fees 489.00; Extension of Time Fees 0.00; Petition Fees 130.00.

TOTAL FEE DUE \$619.00

## PAYMENT OF FEES

- VIII. Charge Account No. 23-2415(22379-707) in the amount of \$619.00.  
Please charge Account No. 23-2415 (22379-707) for any fees that may be due by this paper.

A handwritten signature in black ink, appearing to read "Shaliesh Mehra".

Shaliesh Mehra, Reg. No. 44,934

Wilson Sonsini Goodrich & Rosati  
650 Page Mill Road  
Palo Alto, CA 94304  
(650) 493-9300

June 15, 2000

## FORMALITIES LETTER



\*OC000000005064804\*

UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark OfficeAddress: COMMISSIONER OF PATENT AND TRADEMARKS  
Washington, D.C. 20231

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 09/513,236         | 02/24/2000          | Hadi Partovi          | 22379-707              |

021971  
WILSON SONSINI GOODRICH & ROSATI  
650 PAGE MILL ROAD  
PALO ALTO, CA 943041050

Date Mailed: 04/20/2000

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 690 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$78.  
    ■ \$78 for 1 independent claims over 3 .
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 898.**

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*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

06/22/2000 MMARMOL 00000078 232415 09513236

|           |           |
|-----------|-----------|
| 01 FC:201 | 345.00 CH |
| 02 FC:205 | 65.00 CH  |
| 03 FC:202 | 39.00 CH  |